

# Publication and Dissemination of Research Procedure

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## Purpose

This Procedure describes how to responsibly publish and disseminate research, consistent with the principles and responsibilities of the *Australian Code for the Responsible Conduct of Research 2018* (the Code).

This Procedure applies to:

- a) the dissemination of [research outputs](#); and
- b) dissemination undertaken as part of applications for research grants and forms of financial support.

## Applicable governance instruments

Instrument	Section	Principles
<i>Australian Code for the Responsible Conduct of Research 2018</i>	All	All
<i>Publication and dissemination of research: A guide supporting the Australian Code for the Responsible Conduct of Research</i>	1-5	1 -7
<i>Academic Freedom and Free Speech Policy</i>	1 Right to academic freedom and freedom of speech	1.1-1.2
<i>Behaviour Policy</i>	1 Behaviour	1.1-1.5
<i>Risk Management and Business Resilience Policy</i>	1 Risk Management	1.3-1.4, 1.6

Definitions and acronyms can be found at: <https://www.utas.edu.au/policy/policy-definitions>

Related policy and procedures can be found at: <https://www.utas.edu.au/policy>

<i>Data and Information Governance Policy</i>	4 Data and information management	4.4
<i>Research Policy</i>	2 Responsible conduct of research	2.1-2.4
	4 Research data and output	4.1-4.3
<i>Intellectual Property Policy</i>	4 Indigenous Cultural and Intellectual Property Rights	4.2-4.3
	5 Copyright	5.1-5.2
<i>Compliance Policy</i>	2 Conflict of interest	2.1-2.2
	3 Foreign influence and foreign interference	3.1-3.3

## Procedure

### 1. Background

- 1.1. Publication and dissemination of research is an important part of the research process, passing on the benefits to a diverse range of potential beneficiaries of research, including other researchers, research sponsors, consumers and industry, policymakers, and the public. Methods of dissemination continue to evolve and expand, which can assist in more effectively reaching diverse audiences.
- 1.2. The objective of this procedure is to assist researchers to understand and apply best practice in the publication and dissemination of research in accordance with the principles and responsibilities set out in the Code.

### 2. Dissemination of findings

- 2.1. University researchers have a responsibility to disseminate a comprehensive account of their research. The account should include (where possible) relevant negative results as well as findings that may be contrary to any stated hypothesis. Decisions about how the research will be published or disseminated should not be inappropriately influenced by the nature and direction of the results. Researchers should consider opportunities and limitations such as patents, commercial in confidence agreements and confidentiality/sensitivity. If immediate open access is desirable for research impact, associated fees (article processing charges) may be incurred via publisher agreements. Most publishers allow open access publishing without charge via institutional open access repositories. The increased costs of presenting findings to peers for critical input also needs consideration.
- 2.2. University researchers will strive to select the most appropriate publisher for their work, must avoid 'predatory' or 'questionable' publishers and take active steps to ensure that the selected publisher is of good standing. The University library website provides information and links to resources to assist researchers with publisher selection and choosing trusted journals.
- 2.3. University researchers should consult the University's Learning and Research Librarians for guidance on the appropriate avenues for publication. The University's Research Division maintains a top journal list that indicates whether journals are in the top of their respective fields (access via the staff intranet).
- 2.4. Research results can be published as patents. For further information, see [Managing Intellectual Property \(IP\) at UTAS](#) intranet page.
- 2.5. Researchers can post a research manuscript on a public server as a preprint to allow research

outputs to be available and useable prior to peer review. In choosing to do so, researchers must remain cognisant of their obligations under the Code, specifically ensuring that research findings are disseminated responsibly and accurately, and action is taken, where necessary, to correct the record in a timely manner.

- 2.6. When negotiating research or consultancy contracts, the University and researchers will seek unrestricted agreement for the full, honest and timely reporting of results, wherever possible. Any agreement to restrict, delay or limit publication should not exceed the period needed to protect intellectual property or other relevant interests.

### 3. Accuracy

- 3.1. University researchers must take all reasonable steps to ensure that:
  - a) methodology, data, findings and/or observations are reported accurately and clearly;
  - b) reporting of methodology, data, and findings is consistent with international guidelines and conventions appropriate to the relevant discipline or disciplines;
  - c) conclusions are justified by the results; and
  - d) any limitations are appropriately acknowledged.
- 3.2. Communications about research and its findings must identify the host institution(s) and all sources of support for the research (including financial and in-kind).
- 3.3. University researchers will attribute the University of Tasmania as an institution of affiliation for research outputs in accordance with the *Research Policy*.
- 3.4. Researchers must ensure that they cite and acknowledge their own work and the work of others (whether published or unpublished) accurately, and in accordance with the *Authorship Procedure* and the conventions accepted within the relevant discipline(s).
- 3.5. Researchers will cite primary sources and data to ensure that credit for research is attributed fairly and to facilitate the easy location of the origin of a work, a finding, an idea, or research data.
- 3.6. Researchers will ensure research findings are peer reviewed, in accordance with best practice in the discipline and the *Peer Review Procedure*.
- 3.7. Researchers will ensure that the information about their research activity and track record, as it appears on their research curriculum vitae, job applications, grant applications, reports and public statements, is accurate. Specifically, that the state is accurately described for publications (e.g., in preparation, submitted, under review, accepted for publication, in press), research funding (applied for, granted, funding period), and any awards conferred.

### 4. Open access and transparency

- 4.1. Researchers must be aware of and comply with the terms and conditions of publication agreements with journals or other publishers, such as terms relating to assignment of copyright or restrictions on the republication of work.
- 4.2. University researchers whose peer-reviewed research output has resulted from research which is partially or fully funded by an external agency (e.g., National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC)) must comply with the publication and dissemination requirements of that agency.
- 4.3. University researchers will make their research outputs openly accessible in the University's Research Repository in accordance with the *Open Access Procedure*.

- 4.4. Researchers must ensure that research outputs based on research that required ethics approval (see the *Research Ethics Procedure*), a regulatory permit or other discipline specific approval references the permits or approvals in line with discipline best practice.
- 4.5. Researchers should consider registering their research plans or protocols prior to the commencement of research. The [University Library](#) provides several options for registration.
- 4.6. At the conclusion of a project, subject to any ethical or legal restrictions, researchers should publish or allow interested parties to access and refer to research data, survey instruments, coding manuals and the tools and resources that supported analysis of the research data. Further guidance on sharing research data is provided in the *Research Data Management Procedure*.
- 4.7. Researchers may publish the same research in more than one publication, such as in an original journal article, followed by publication in book form and/or in anthologies, collections, and translations, conditional on the following requirements:
  - a) An author who submits substantially similar work to more than one publisher, or who submits work similar to work already published, must disclose this at the time of submission.
  - b) Disclosure must also be included in the work itself to prevent any such reuse having the effect of portraying previously presented ideas or data as new.Researchers should be aware that many publishers in their submission guidelines specifically preclude multiple submissions.
- 4.8. Where possible, researchers will retain the right to republish their research outcomes (e.g., by only granting a non-exclusive licence to publishers or using a creative commons licence). Where this is not possible (e.g., due to contractual obligations or an embargo) researchers will gain any required permissions (e.g., permission from the original publisher) before republishing research outcomes. For further guidance see the UTAS [Invent Intranet page](#).
- 4.9. If the research involves a foreign academic organisation, institution or government, researchers will disclose arrangements in accordance with the University's *Compliance Policy* using the [Foreign Arrangements Request form](#) in ServiceNow.

### *Clinical trials*

- 4.10. Researchers must ensure that clinical trials are registered on a publicly accessible register complying with international standards (such as the [Australian and New Zealand Clinical Trials Registry](#) and [ClinicalTrial.gov](#)) before the recruitment of the first participant. Registering a clinical trial is the responsibility of the trial sponsor. If the University is acting as sponsor, this responsibility is delegated to the principal investigator. For more information, see the [Clinical Trials Procedure](#) and the [Clinical Trial Governance](#) intranet page.

## **5. Conflicts of interest**

- 5.1. Researchers must disclose and manage conflicts of interest in accordance with the *Conflicts of Interest and Gifts and Benefits Declarations Procedure*. This includes fully disclosing relevant interests upon submission of publications.

## **6. Confidential and sensitive information**

- 6.1. University researchers must ensure that their publication and dissemination activities take account of any ethical or legal restrictions relating to intellectual property, including Indigenous Cultural and Intellectual Property (see the appropriate handling of confidential or other sensitive information in the *Research Data Management Procedure*). This includes any confidentiality and privacy

Publication and Dissemination of Research Procedure requirements of research sponsors and participants. In event of any doubts, researchers are recommended to seek advice from the Legal Services before disseminating research or technical data which may be considered confidential or sensitive.

- 6.2. Researchers must consider the unintended consequences and adverse outcomes of research prior to its communication and seek advice from the relevant business units (e.g., legal and compliance), external agencies (e.g., ARC and NHMRC) or relevant authorities prior to any publication and/or dissemination of the findings. Research or its outputs may cause harm to human, animal or plant health or the environment, could harm national security, or be otherwise confidential or sensitive. In such situations and prior to any dissemination, researchers must ensure that any potential risks arising from the dissemination of the research or technical data (including misuse by third parties) are managed in accordance with any risk assessments and the *Risk Management and Business Resilience Policy* and *Risk Management Procedure*. Researchers can seek advice from their Head of Discipline, Head of Academic Unit or Associate Dean Research Performance when assessing potential risks. The following guidance address topics of particular relevance:
- a) [privacy](#);
  - b) [defence export controls](#);
  - c) [foreign influence, foreign interference and foreign arrangements](#);
  - d) [biosafety](#); and
  - e) [gene technology](#).

## 7. Broad communication of research

- 7.1. University researchers are encouraged to communicate their findings to the widest appropriate audience in forms that are accessible to that audience. This may include research end-users, such as policy makers, government agencies, industry, not-for-profit organisations, consumers and the general public.
- 7.2. Where the research affects or is of particular significance to Aboriginal and Torres Strait Islander peoples and communities, researchers must ensure that the outcomes of the research are presented in a format that is culturally appropriate and acceptable. The requirements for this are available in the University's [Best Practice in Aboriginal and Torres Strait Islander Research Ethics framework](#).
- 7.3. Researchers should seek communication training and support, available from the University's [Communications and Media Office](#).
- 7.4. Researchers anticipating media interest after the publication of research outcomes will liaise with the [Communications and Media Office](#) and/or with the relevant Communications Officer in their Academic Unit.
- 7.5. Researchers will consider the following when communicating research findings publicly in any forum:
  - a) As a general rule, research findings should not be discussed in the public arena until they have been tested through peer review. Exceptions to this general rule include the presentation of research in progress or before publication:
    - i. on a public server as a preprint;

- ii. at professional conferences;
- iii. when it is in the national interest or in the context of a public health crisis;
- iv. when it is a requirement of research contracts or agreements that research findings are discussed prior to publication; and
- v. for contract or applied research, where peer review is not required and/or appropriate.

In discussing the findings of a research project prior to peer review, special care should be taken to explain the status of the project – e.g., whether it is still in progress or has been finalised and whether the findings have been published.

- b) Ensure research participants are provided with a summary of the research outcomes prior to any wider communication in accordance with the participants' directions, excluding research projects where consent is waived or qualified.
- c) To maximise understanding of research findings, researchers will promptly inform those directly affected by the research, including interested parties. This may include providing research participants with a summary of the research results.
- d) The findings of research with a strong commercial element, certain contractual obligations and protection (patent) requirements may have to be formally registered or presented to a stock exchange, a financial body, a sponsor or investors before any public release. Contact [Research.IP@utas.edu.au](mailto:Research.IP@utas.edu.au) for further advice.
- e) Any restrictions on communications that have been agreed upon with the research sponsor or as a result of a risk assessment conducted under clause 6 must be adhered to, noting that publication restrictions are discouraged, if possible.

## 8. Correction of the public record

- 8.1. If University researchers become aware of any errors or misleading information in their published research outputs, they must take action to correct the record with the publisher according to relevant publisher policy in a timely manner. This includes:
  - a) research manuscripts that have been made publicly available as preprints; and
  - b) research findings that have been misrepresented by third parties (e.g., the media).
- 8.2. In certain circumstances (e.g., following a preliminary assessment or investigation in accordance with the *Research Integrity Complaints Procedure*), the Deputy Vice-Chancellor (Research) or delegate may contact the publisher(s) directly to advise of a correction to the public record.
- 8.3. When researchers contact publishers directly, they will notify the [Research Division](#) so that University systems (such as the Open Access Repository) can be updated accordingly.

## 9. Breaches of the Code

- 9.1. Breaches of the Code that are related to the publication and dissemination of research include, but are not limited to:
  - a) fabrication, falsification or misrepresentation of research data or source material in a research output or any communication, including social media and grant applications;
  - b) plagiarism of someone else's work, including theories, concepts, research data and source material;
  - c) duplicate publication (also known as redundant or multiple publication, or self-plagiarism) without acknowledgement of the source or original publication;

- d) failure to maintain records required by an export control body as a condition of publication and dissemination;
- e) failure to take active, reasonable and timely steps to correct the public record upon becoming aware of errors or misleading information in their published research outputs;
- f) public dissemination of research (e.g., via social media) that is yet to be tested in peer review without providing an appropriate caution or caveat;
- g) failure to honour a restriction on publication or dissemination imposed by a sponsor, ethics or biosafety review body or other approval body (including an export control authority); and
- h) failure to notify appropriate authorities of research findings where mandated (e.g., new records of pest and disease incursions).

9.2. Concerns and complaints about potential breaches of the Code will be managed in accordance with the *Research Integrity Complaints Procedure*.

### Related procedures

*Authorship Procedure*

*Conflicts of Interest and Gifts and Benefits Declaration Procedure*

*Research Data Management Procedure*

*Open Access Procedure*

*Peer Review Procedure*

*Research Ethics Procedure*

*Management of Research Funding Procedure*

*Research Integrity Complaints Procedure*

*Risk Management Procedure*

*Clinical Trials Procedure*

### Versions

<a href="#">Version</a>	Action	Approval Authority	Responsible Officer/s	Approval Date
Version 1	Approved	Deputy Vice-Chancellor (Research)	Executive Director Research	26 October 2021
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